

PRELIMINARY PROPOSAL FORM INSTRUCTIONS

The revised Preliminary Proposal Form (PPF) combines the PPF and the PIQ form (Proposal Information Questionnaire).

Please call Ames Lab's Office of Sponsored Research Administration (OSRA) at 4-6486 to get an assigned PPF number. Enter the PP# on the line designated on the form.

Do not enter an Agreement #; leave that line blank; OSRA will complete the field when proposal is funded.

Part 1. Proposed Work Description

- 1.1 Provide a concise title of the proposed project; should be same as title of formal Proposal.
- 1.2 Enter the name and telephone number of the PI(s). To ensure that all parties to an agreement are fully aware of any personal or contractual relationships that might have relevance to or compete with a particular project and to put the Laboratory on notice that PI(s) have a COI, please check the applicable box. The PI(s) must sign the form to approve their COI status. If a potential COI is created, please attach a description of the COI signed by the PI. For more information about Conflict of Interest, visit the Sponsored Research Administration website: <https://www.ameslab.gov/operations/sra>.
- 1.3 If answer to question is "no", the proposal is being submitted to a non-DOE entity. Complete Part 1A on pages 5-6, to accompany the ppf.
- 1.4 Enter the anticipated Start & End date.
- 1.5 This should be the estimated total project cost of the defined work scope in thousands of dollars (K\$).
- 1.6 Self explanatory
- 1.7 Provide a descriptive statement of your project; providing enough information so that the Statement of Work (SOW) is well understood, or provide a Section Name and/or page number where an abstract of the work can be found in the attached proposal.
- 1.8 Self explanatory
- 1.9 Ames Laboratory normally does not perform classified research. If you know that a proposal would be classified, indicate such here. In order to submit project, Lab Director approval is required.
- 1.10 If any or all of these boxes are checked, then special handling of the project is required. This may include cyber security, encryption of electronic information, an export control license and other requirements as specified.

Part 1A (pages 5 & 6) Complete ONLY if Proposal is being submitted to a Non-DOE Sponsor (i.e. DOD, NIJ, University, Industry, etc.)



- 1A.1 Provide the name of the Entity who will enter into a formal agreement with Ames Laboratory.
“Technical Point of Contact” is the name of the person the PI(s) is/are working with regarding the technical aspects of the project.
“Contractual Point of Contact” is the name of the person responsible for negotiating or initiating the Contract for the Sponsoring organization.
- 1A.2. Provide the answer to, “Who is cutting and sending the check to Ames Lab?” Depending upon the answer, this determines the type of agreement: a WFO/CRADA agreement, an interagency agreement (IPR or MIPR), or Inter Lab Transfer, etc.
- 1A.3 If sponsor is a foreign entity, different terms and condition from US sponsors must be offered by OSRA.
- 1A.4 If Federal funds are being used by the Non-Federal Sponsor and the Non-Federal Sponsor is sending us the funds, please list the Agency funding the Sponsor in order to include the appropriate Intellectual Property (IP) clauses in the formal agreement.
- 1A.5 Self-explanatory
- 1A.6 Self-explanatory
- 1A.7 In order to do work for others, the proposed work must relate to the Lab’s or DOE’s mission; if it doesn’t, then justification for doing the proposed work must be detailed.
- 1A.8 Ames Laboratory cannot compete with U.S. private sector. Please explain why the work can’t be obtained from a private entity, or can’t be readily obtained in the U.S.
- 1A.9 Requires a statement that explains that the work for this project can only be provided by Ames Laboratory. The proposed work must not place the facility in direct competition with the domestic private sector. If the detail provided in 1.A.8 is complete enough to answer this question, also, put “See response in 1.A.8”
- 1A.10 “Space” means applications for Outer/Deep Space.
- 1A.11 Self explanatory
- 1A.12 Self explanatory
- 1A.13 Self explanatory
- 1A.14 Self explanatory
- 1A.15 To be completed by the Ames Laboratory Budget Office
- 1A.16 Self explanatory
- 1A.17 Average annual percent effort of time built into this proposal for duration of this project



1A.18 Number of individuals of new people (not ETE's)

1A.19 Self explanatory

1A.20 Self explanatory

1A.21 If there are existing patents, patent applications or disclosures that the Sponsor needs to license for the furtherance of the project, or if they already have a license or option to Lab IP, or if they have indicated their willingness to negotiate an option or license, please explain.

1A.22 List all existing IP that maybe involved in the project; both Ames Lab & ISU. This is necessary to assure that the IP is currently available for licensing or that ISURF (Iowa State University Research Foundation) doesn't license the IP to another entity while the proposal is pending. Please call the Lab's Intellectual Property Coordinator, at 4-5932 if you need assistance.

1A.23 If the proposal contains any privileged information that might affect the patentability of a submitted or pending IP disclosure, it is imperative that the PI(s) mark the privileged information as such. Such a marking can be found at www.ameslab.gov/techtransfer/proposal-submission.

Part 2. ES&H Review

To be completed by the PI with assistance from ESH&A, and signed by an ESH&A representative and PI in G40 TASF.

2.4 The use of DOE form 5634.2 is discussed in DOE O 470.1 Safeguards and Security Program.

Part 3. Sponsored Research & Administration

To be completed by the Associate Laboratory Director for Sponsored Research & Administration in 311 TASF.

Part 4. Export Control

To be completed and signed by the Export Control Officer in 311 TASF.

Part 5. Budget and Personnel Requirements

To be completed by the PI(s) and the PI(s) Program Assistant with assistance from their Budget office Analyst in 231 TASF. An attached budget sheet may be used in lieu of item 5.2.

Part 6. Laboratory Approvals

Self explanatory

